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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: David J. Schmitz, et al.

Appln. No.: 09/896,061

Filed: June 29, 2001

For: Automated Execution System Having  
Participation

Examiner: Frantzy Poinvil

Art Unit: 3628

Attorney Docket No: 11927/90

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Transmittal (in duplicate); and Amendment.  
☒ Return Receipt Postcard.

Fee calculation:

- ☒ No additional fee is required.  
☐ Small Entity.  
☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).  
☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_).  
☐ An additional filing fee has been calculated as shown below:

					Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$25=			x \$50=	
Indep.		Minus			x \$100=			x \$200=	
First Presentation of Multiple Dep. Claim					+ \$180=			+ \$360=	
					Total	\$		Total	\$

Fee payment:

- ☐ A check in the amount of \$\_\_\_\_\_ is enclosed.  
☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.  
☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).  
☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

June 13, 2006  
Date

Scott W. Brim (Reg. No. 51,500)

BRINKS  
HOFER  
GILSON  
& LIONE

BRINKS HOFER GILSON & LIONE  
NBC Tower - Suite 3600, 455 N. Cityfront Plaza Drive, Chicago, IL 60611-5599



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Our Case No. 11927/90

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:	)	
	)	
David J. Schmitz, et al.	)	
	)	Examiner: Frantzy Poinvil
Serial No.: 09/896,061	)	
	)	Group Art Unit No.: 3628
Filing Date: June 29, 2001	)	
	)	
For: Automated Execution System	)	
Having Participation	)	

**AMENDMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This is in response to the Office Action mailed on March 13, 2006 setting a shortened statutory response date of three months. As this paper is being filed on June 14, 2006, it is considered timely filed. Applicants submit the following Amendment and Remarks and respectfully request the Examiner to reconsider the rejections made in the Action and to allow the application to issue.

Please amend the application as follows:

**Amendments to the Claims** are reflected in the listing of claims, which begins on page 3 of this paper.

**Remarks** begin on page 7 of this paper.